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# NASA Procedural Requirements

**COMPLIANCE IS MANDATORY****NPR 3435.1B**Effective Date: March 05,  
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 (NASA Only)**Subject: NASA Performance Management System for the Senior Executive Service****Responsible Office: Office of Human Capital Management**[| TOC](#) | [Preface](#) | [Chapter1](#) | [Chapter2](#) | [Chapter3](#) | [Chapter4](#) | [AppendixA](#) | [AppendixB](#) | [ALL](#) |

## Chapter 2: Basic Provisions

2.1 The Agency-wide performance appraisal period will be from October 1 through September 30.

2.2 The minimum period a senior executive shall be under a performance plan before receiving a Performance Summary Rating is 120 days.

2.3 The Rating Official is responsible for establishing performance plans and appraising each subordinate senior executive; however, the assignment of a Performance Summary Rating is not official/final until approved by the Administrator or designee.

2.4 The Rating Official shall establish a written performance plan at the beginning of each appraisal period (normally within 30 days) or within 30 days of the executive's assignment to a position.

2.5 A performance plan shall contain at least one results-oriented Critical Element.

2.6 At least 60 percent of each performance plan shall be focused on achieving results, with clear measures associated with those results to show whether the goals have been achieved.

2.7 The performance plan shall describe:

a. The Critical Elements of the senior executive's work and any other relevant performance elements. Elements shall reflect both individual and organizational performance expectations and shall be consistent with the goals and performance expectations in the Agency's strategic planning initiatives in order to establish alignment.

b. The level of performance expected (performance requirement) for fully successful performance against which the senior executive's performance will be appraised.

2.8 The Rating Official shall conduct a progress review with the senior executive at least once during the appraisal period (normally at midpoint of the appraisal period). If at the midpoint in the appraisal period a senior executive has been on a performance plan for less than 120 days, a midterm review may be conducted or delayed until such time in the appraisal period when a progress review would be more advantageous to the executive.

2.9 The Rating Official shall propose an Annual Summary Rating for each eligible senior executive at the end of the appraisal period (September 30). A Performance Summary Rating shall not be final until approved by the Administrator or designee.

2.10 When an Annual Summary Rating cannot be prepared as of September 30 because the senior executive has not served under a performance plan for the minimum appraisal period (120 days), the executive's appraisal period shall be extended to September 30 of the following year. Although the supervisor may determine a Performance Summary Rating any time after the executive has served 120 days under a performance plan, no performance based pay adjustments or other personnel actions may be effected based on this rating unless approved by the Administrator or designee.

2.11 The appraisal of a senior executive shall be based on both individual and organizational performance, taking into account such factors as:

- a. Results achieved in accordance with the Agency's strategic goal, objective, outcome, annual performance goal (APG), and/or Agency-specific goal and/or external commitment within the senior executive's mission-related or functional area of responsibility.
- b. Customer satisfaction, to the extent applicable.
- c. Employee perspectives.
- d. The performance of subordinate employees.
- e. Meeting equal employment opportunity, diversity, and safety goals and complying with the merit system principles.

2.12 A senior executive's performance for each performance element of his/her performance plan shall be appraised at one of five performance element rating levels:

- a. Outstanding. Performance exceeds performance requirements to an exceptional degree.
- b. Highly Successful. Performance exceeds performance requirements to a substantial degree.
- c. Fully Successful. Performance fully meets performance requirements.
- d. Minimally Satisfactory. Performance only partially meets performance requirements.
- e. Unsatisfactory. Performance does not meet performance requirements.

2.13. The Performance Summary Rating is derived from the ratings of an executive's Critical Elements. NASA Form 1701 provides detailed instructions on weighting the performance elements to derive the Summary Rating. A senior executive's overall performance shall be appraised at one of five Performance Summary Rating levels:

- a. Outstanding. Total performance in the position exceeds performance requirements to an exceptional degree.
- b. Highly Successful. Total performance in the position exceeds performance requirements to a substantial degree.
- c. Fully Successful. Total performance in the position fully meets performance requirements.
- d. Minimally Satisfactory. Total performance in the position only partially meets performance requirements. One or more Critical Elements is rated Minimally Satisfactory and no element is rated below Minimally Satisfactory.
- e. Unsatisfactory. Total performance in the position does not meet performance requirements. This rating is assigned when any Critical Element is rated Unsatisfactory.

2.14 Within ten calendar days of receipt of the Initial Summary Rating assigned by the Rating Official, a senior executive may provide a written response and/or request a higher level review.

2.15 The PRB shall consider the Initial Summary Rating, any written response from the senior executive, any comments and/or rating recommendation from a higher level reviewing official, the relative performance of the senior executive, and the overall performance of the organization and shall recommend an Annual Summary Rating for the Administrator's (or designee's) consideration.

2.16 The Administrator or designee shall determine a senior executive's Annual Summary Rating, taking into consideration the recommendation of the PRB and the overall performance of the organization.

2.17 Performance appraisals and ratings may not be appealed to the Merit Systems Protection Board or grieved under the NASA Grievance System, (NPR 3771.1).

2.18 A senior executive with an Annual Summary Rating of Fully Successful or above is eligible to be considered for an SES performance award (bonus), an increase in pay, a Presidential Rank Award (after a minimum of three years of eligible service), and nonmonetary recognition. Non-career SES are not eligible for bonuses or rank awards.

2.19 A senior executive with an Annual Summary Rating of less than Fully Successful may be considered for a reduction in pay.

2.20 A senior executive who receives an Annual Summary Rating of Unsatisfactory shall be reassigned or transferred to another SES position or removed from the SES.

2.21 A senior executive who receives two Unsatisfactory Annual Summary Ratings in any five-year period or two less than Fully Successful Annual Summary Ratings in any three-year period shall be removed from the SES.

2.22 A senior executive who is removed from the SES for performance and who is eligible under OPM regulations shall be entitled to placement in a position at GS-15 or above (or an equivalent position). An otherwise eligible senior executive removed from the SES for performance may elect discontinued service retirement rather than fall back to a GS-15 position.

| [TOC](#) | [Preface](#) | [Chapter1](#) | [Chapter2](#) | [Chapter3](#) | [Chapter4](#) | [AppendixA](#) | [AppendixB](#)  
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